U.S. Department of Education
Office of Elementary and Secondary Education
Academic Improvement and Teacher Quality Programs
Washington, D.C. 20202-6200

Fiscal Year 2010

Application for New Grants Under
The High School Graduation Initiative Program

CFDA 84.360A

Dated Material - Open Immediately
Closing Date: July 28, 2010

Approved OMB Number: 1894-0006
Expiration Date: September 30, 2010

Paperwork Burden Statement

According to the Paperwork reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is: 1894-0006. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Theda Zawaiza, High School Graduation Initiative Program, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E122, Washington D.C. 20202-6200.

Table of Contents

Dear Colleague:

Thank you for your interest in the High School Graduation Initiative (HSGI) Program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). This information is for applicants seeking funding in Fiscal Year 2010 under the HSGI program, which is authorized under Title I, Part H of the Elementary and Secondary Education Act, as amended   The HSGI program awards discretionary grants to local educational agencies (LEAs) and State educational agencies (SEAs) to support effective, sustainable, and coordinated dropout prevention and reentry programs in high schools with annual dropout rates that exceeded their state average annual dropout rate. Middle schools with students who continued on to these high schools also are supported.

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

For this competition, the program has established two **absolute priorities**. Priority 1 is from the allowable activities specified in the statute (see section 1825(1) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6561d(1)). Priority 2 is from the notice of final priorities, requirements, definitions, and selection criteria for the SDP program, published in the Federal Register on July 8, 2005 (70 FR 39499). Additional information can be found within the application package.

For this competition it is **mandatory** for applicants to use the Department's Electronic Grant Application System (e-Application), accessible through the Department's e-Grants portal page at: http://e-grants.ed.gov. We strongly encourage you to familiarize yourself with e-Application and strongly recommend that you register *and* submit your application early.

Using FY 2010 funds, the Department expects to award $45,000,000 for new grants under this competition. We will award grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded in September 2010.

Please visit our program Web site at http://www2.ed.gov/programs/dropout/index.html for further information. If you have any questions about the program after reviewing the application package, please contact Theda Zawaiza by telephone at (202) 205-3783 or via e-mail at hsgi@ed.gov.

Joseph Conaty
Director

Technical Assistance Webinars for Applicants

The U.S. Department of Education plans to conduct two technical assistance webinars to discuss the competition's selection criteria, requirements, and absolute priorities. Additionally, staff will answer technical questions about the High School Graduation Initiative competition.

The dates of the webinars are as follows:

- **Wednesday, June 30 from 4:00 pm to 5:00 pm (Eastern Daylight Time)**

- **Wednesday, July 7 from 2:00 pm to 3:00 pm (Eastern Daylight Time)**

If you want to participate in the webinar, you <u>must</u> register in advance. To register, please email Zakiya Pettit at **zpettit@seiservices.com** and use "HSGI Webinar" as the subject line. We will e-mail you information about how to access the webinars.

Materials presented through the webinars also will be posted on our Web site at:

<div align="center">

http://www2.ed.gov/programs/dropout/applicant.html

</div>

Frequently Asked Questions

Eligible Applicants

Who is eligible to receive a grant?

The following entities are eligible to apply:

- State educational agencies (SEAs);

- Local educational agencies (LEAs), including charter schools that are considered LEAs under State law and including schools funded by the Bureau of Indian Education (formerly the Bureau of Indian Affairs)

What is the definition of a local educational agency?

The term local educational agency means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or of or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools. The term also includes:

- Any other public institution or agency having administrative control and direction of a public elementary school or secondary school;

- An elementary school or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under the Elementary and Secondary Education Act with the smallest student population, except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs;

- Educational service agencies and consortia of those agencies;

- A charter school that is considered an LEA under State law; and

- The State educational agency in a State in which the State educational agency is the sole educational agency for all public schools [20 U.S.C. 7801(26)]

Are educational service agencies eligible to apply?

Yes, educational service agencies are eligible to apply because they are included in the definition of an LEA in 20 U.S.C. 7801(26). Applicants should note, however, that the term "educational service agency" is defined as "a regional public multiservice agency authorized by State statute to develop, manage, and provide services or programs to local educational agencies." [20 U.S.C. 7801(17)] An entity that generally provides services to schools, but that does not meet the other requirements of the definition (such as being authorized by State statute to develop, manage, and

provide services or programs to LEAs), is not an "educational service agency" and thus is not eligible to apply.

Are charter schools eligible to apply?

A charter school is eligible to apply if it is considered an LEA under State law.

Can an individual high school apply?

An individual high school may only apply if it is considered an LEA under State law.

May a consortium of eligible entities apply as a group?

Yes. A consortium of eligible entities can submit an application, but it must submit a consortium agreement with its application. The relevant regulations from 34 CFR Part 75, Subsection C appear below:

> Sec. 75.127--Eligible parties may apply as a group.
> a) Eligible parties may apply as a group for a grant.
> b) Depending on the program under which a group of eligible parties seeks assistance, the term used to refer to the group may vary. The list that follows contains some of the terms used to identify a group of eligible parties:
> (1) Combination of institutions of higher education.
> (2) Consortium.
> (3) Joint applicants.
> (4) Cooperative arrangements.
> (Authority: 20 U.S.C. 1221e-3 and 3474)
>
> Sec. 75.128--Who acts as applicant; the group agreement.
> (a) If a group of eligible parties applies for a grant, the members of the group shall either:
> (1) Designate one member of the group to apply for the grant; or
> (2) Establish a separate, eligible legal entity to apply for the grant.
> (b) The members of the group shall enter into an agreement that:
> (1) Details the activities that each member of the group plans to perform; and
> (2) Binds each member of the group to every statement and assurance made by the applicant in the application.
> (c) The applicant shall submit the agreement with its application.
> (Authority: 20 U.S.C. 1221e-3 and 3474)
>
> Sec. 75.129--Legal responsibilities of each member of the group.
> (a) If the Secretary makes a grant to a group of eligible applicants, the applicant for the group is the grantee and is legally responsible for:
> (1) The use of all grant funds;
> (2) Ensuring that the project is carried out by the group in accordance with Federal requirements; and
> (3) Ensuring that indirect cost funds are determined as required under Sec. 75.564(e).
> (b) Each member of the group is legally responsible to:
> (1) Carry out the activities it agrees to perform; and

(2) Use the funds that it receives under the agreement in accordance with Federal requirements that apply to the grant.
(Authority: 20 U.S.C. 1221e-3 and 3474)

We understand that community-based organizations are not eligible to apply independently for an HSGI grant, but can they be included in a consortium with an LEA or SEA that is eligible to apply?

No. A consortium application may only be submitted by a group of eligible entities (i.e., LEAs and SEAs). The consortium may not include entities that are ineligible to apply independently for funds, such as community-based organizations.   LEAs and SEAs, however, can engage community-based organizations and other public or private entities in the delivery of services provided by their projects.

Eligible Schools

How many schools may be included in an application?

There is no limit on the number of schools that may be included in an application

We want to apply on behalf of a high school that has an annual dropout rate that is higher than the State's annual dropout rate during the most recently completed school year. We cannot be certain, however, that the annual dropout rate will be higher than the State annual dropout rate in future school years. Will you terminate our grant if a school's annual dropout rate falls below that of the State's?

No. While an applicant may only include in its application schools that, using data from the current or most recently completed school year, have annual dropout rates that are higher than the State annual dropout rate, we would not terminate an HSGI grant if a school's annual dropout rate later fell below the State annual dropout rate during the 60-month project period. We do not require that the school continue to have an annual dropout rate higher than the State's annual dropout rate after the grant has been awarded.

During the current school year, several of the high schools in our district have annual dropout rates that are slightly lower than the State's annual dropout rate. We believe that the schools' dropout rates will be higher next year.   Can we apply on behalf of these schools?

No. An applicant may only include in its application schools that, using data from the current or most recently completed school year, have annual dropout rates that are higher than the State annual dropout rate,

Grant Award Amounts and Duration

How much funding is available for awards in FY 2010?

Approximately $45 million dollars are available in FY 2010 for awards. The Department anticipates awarding 35-50 new grant awards.

Can we request funds for more than one year?

Yes. Projects under the HSGI program may be funded for up to 60 months. Funding is awarded on a yearly basis and is contingent upon the demonstration of substantial progress toward meeting project goals and objectives each year and the availability of future funding.

Is there a maximum amount that eligible entities can request?

Yes. The maximum amount allowed for any grant is $3,000,000 per year. The maximum award amount includes both direct and indirect costs. We will reject any application that proposes a budget exceeding $3,000,000 per year. The actual size of awards would be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed project.

Are the maximum award amounts per year or for the entire 60-month project period?

The maximum award amounts are per year.

Must we divide the maximum award amount equally across all five years of the project, or can we spend more in some years and less in others?

Applicants are not required to spend the same amount in each year of the project.

Uses of Funds

How can funds be used under this grant program?

Grant funds must be used to support "scientifically based, sustainable, and widely replicated strategies for school dropout prevention and reentry." They may include effective early intervention programs designed to identify and serve students who are at-risk of dropping out and effective programs to identify and encourage youth who have already dropped out of school to reenter school and complete their secondary education. Grant funds also can be used for comprehensive reform approaches, creating alternative school programs, and developing clear linkages to career skills and employment.

Can we use grant funds to hire personnel? We want to hire a math coach to work with our teachers, and a project director to guide the implementation of the grant.

Yes, grant funds may be used to hire personnel.

Can we include cost-of-living increases for the personnel who are being paid with grant funds?

Yes. You may budget for cost-of-living increases. However, you should indicate in your budget narrative the basis for your estimate of the percentage increase for which you have budgeted.

We want to use grant funds to obtain services from several community-based organizations. Is this allowable?

Yes, this is an allowable use of funds, provided these services support the applicant's school dropout prevention and reentry activities.

Are we required to place dropouts who are returning to school in the schools from which they dropped out?

No, projects are not required to place returning dropouts to the schools from which they dropped out.

Can grant funds be used to develop and implement early warning systems that identify early students who are at-risk of dropping out?

Yes, grant funds may be used to develop and implement early warning systems.

We are interested in creating a college-based program for dropouts that gives participants the opportunity to complete their secondary education and earn college credits simultaneously. Can grant funds be used to implement this kind of program?

Yes, grant funds may be used for such programs, provided they serve students who have dropped out or are at-risk of dropping out.

Can we use grant funds to establish a summer bridge program for incoming ninth graders whose reading and math skills that are significantly below grade level? Our data show that these students are at high risk of dropping out during ninth grade.

Yes, grant funds may be used for summer bridge programs that serve students who are at-risk of dropping out.

Can grant funds be used to implement credit recovery programs for students who are behind in earning the credits needed to graduate?

Yes, credit recovery programs are an allowable use of funds.

A significant number of the dropouts in our district are recent immigrants who are not proficient in English. Can we use grant funds to develop a targeted program for these youth that will provide more intensive instruction and support than we can provide in our regular high schools?

Yes, grant funds may be used to support targeted programs for immigrants who are at-risk of dropping out or who have already dropped out.

Can an LEA or SEA use a portion of the grant funds to support dropout prevention activities in schools that do not have an annual event dropout rate that is higher than the State's annual event dropout rate?

No. HSGI funds may not be used in schools that do not have an annual event dropout rate that is higher than the State's rate.

Are we allowed to purchase computers, software, and equipment with HSGI grant funds?

Yes, HSGI grant funds can be used to purchase equipment and software under some circumstances. These costs must be related clearly to the goals of your project and be necessary for the proper and efficient performance and administration of your grant award. The costs must be reasonable, allocable, and meet other requirements set out in the appropriate OMB Circular A-87. For example, if the computers purchased will only be used 25 percent of the time for project-related activities, only 25 percent of the costs are allocable to the grant. Finally, HSGI grant funds may be used for this purpose only if these funds supplement and do not supplant non-Federal funds available for this purpose. Applicants should outline clearly how the equipment is going to be utilized in the project narrative and describe the associated with purchasing the equipment and software in detail in the budget narrative. Please see the instructions for completing the Budget Narrative in the application package.

Will the Department hold annual technical assistance meetings for the project directors of grants that are funded?   What time of year will this be held? Where will they be held?

Yes, the Department intends to sponsor a technical assistance meeting in Washington, DC, in each year of the project period. The dates for these meetings have not been determined, but we expect that they will occur during the fourth quarter of each calendar year. For budget planning purposes, applicants should assume that lodging expenses will be at or near the Federal per diem rate established by the General Services Administration. Current per diem rates are available at the link below:

http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA_BASIC

Supplement, Not Supplant

> *HSGI grant funds must be used only to supplement, and not supplant, other non-Federal funds that are available to implement effective, sustainable, and coordinated dropout prevention and re-entry programs.*

Can you give some general guidance on when you would consider a use of HSGI grant funds to be supplanting?

Since any determination about supplanting is case-specific, it is difficult to provide general guidelines without examining the details of a situation. However, generally, we would presume that supplanting has occurred in the following instances:

- *A grantee used HSGI grant funds to provide services that it would have been required to provide under Federal, State, or local law, even in the absence of HSGI grant funds.* For example, if State law requires schools to provide intensive reading instruction to students whose reading skills are below grade level, we would presume that supplanting had occurred if a grantee used HSGI funds to provide these services. Grant funds could be used, however, to cover the costs of increasing the number of hours of instruction above the minimum required by State law.

- *A grantee used HSGI grant funds to provide services that it provided with non-Federal funds in the prior year(s).* For example, if a grantee used HSGI grant funds to pay the costs of professional development after having paid these costs from its own funds during previous school years, we would presume that supplanting had occurred. Grant funds could be used, however, to increase the number of teachers and other personnel who participate in professional development.

- *A grantee used HSGI grant funds to provide services to students participating in the HSGI project at one school but used non-Federal funds to provide the same services to students at a different school that is not participating in the HSGI project.* For example, if a grantee uses HSGI grant funds to pay for the costs of after-school tutoring at the schools included in the grant but uses its own funds to provide these services at its other schools, we would presume that supplanting had occurred.

It should be noted that a grantee can rebut the presumption that supplanting has occurred by demonstrating that it would not have provided the services in question with non-Federal funds had the HSGI grant funds not been available. For example, in the second example, an LEA or SEA could provide programmatic and fiscal documents showing that funding for professional development costs was eliminated from the budget for the upcoming school year because of State or local budget cuts and, thus, should not be considered supplanting. The LEA or SEA would need to ensure that it had contemporaneous records to confirm that State or local funds had been reduced and that its decision to terminate the payment of teacher training costs was made without taking into consideration the availability of HSGI grant funding, along with the reasons for that decision—e.g., State or school board minutes.

Due to State budget cuts, we had to eliminate the graduation coaches we had used to prevent students from dropping out. These positions have been an important part of our dropout prevention efforts. Can we use HSGI grant funds to restore these positions without it being considered supplanting?

Determinations about supplanting are made on a case-by-case basis. However, you may be able to demonstrate that using HSGI grant funds for these positions should not be considered supplanting. You need to ensure that you have contemporaneous records that confirm that State

funds were reduced and that your district's decision to eliminate the graduation coaches was made without taking into consideration the availability of HSGI grant funding.

Assessment of Project Effectiveness

Are we required to support an evaluation of the project?

Grantees are required to support an assessment of the effectiveness of the project. One of the selection criteria evaluates the extent to which the methods proposed by an applicant for this assessment are sufficiently rigorous to determine the project's effectiveness. In addition, grantees are responsible for reporting annually to the Department on the performance measures identified in the notice inviting applications, as well as on their progress in implementing their approved projects.

Does the Department require or recommend that a certain percentage of the grant award be used for the assessment of the project's effectiveness?

No, the Department does not require or recommend that a specific amount or percentage of the grant funds be used for the required assessment. Evaluation costs must be reasonable, allocable, and meet other requirements set out in OMB Circular A-87. In addition, HSGI grant funds may be used for the assessment if, and the extent to which, these funds supplement and do not supplant non-Federal funds available for this purpose.

Indirect Costs

> *Indirect costs represent the expenses of doing business that are not readily identified with a particular grant project function or activity, but are necessary for the general operation of the organization and the conduct of activities it performs. Indirect costs are generally administrative costs such as the salaries and expenses for staff engaged in organization-wide (general) activities. Typical indirect costs include the costs of procurement, payroll, personnel functions, maintenance and operations of space, data processing, accounting, auditing, budgeting, or communications. A cost may not be allocated as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned as a direct cost.*

May we charge the grant for indirect costs?

An LEA or SEA may include indirect costs in its HSGI budget. If an LEA or SEA chooses to include such costs, it must use a current approved indirect cost rate found in its Indirect Cost Rate Agreement. The indirect cost rate must be applied in accordance with the terms and procedures in the Indirect Cost Rate Agreement. The Department recommends that an applicant review its Indirect Cost Rate Agreement and work closely with State staff familiar with the agreement as it drafts its HSGI budget.

An LEA or SEA may apply its indirect cost rate against subawards only to a very limited extent. In particular, an LEA or SEA may apply its indirect cost rate only against the first $25,000 of each subaward (i.e., each sub-grant or contract) on a yearly basis (subject to that being consistent

with its Indirect Cost Rate Agreement), and not against the full amount of each subaward. Therefore, for example, each grantee may apply its indirect cost rate only against the first $25,000 of each contract included in line 6 (Contractual).

For more information about indirect cost rates, please refer to the Department's *Cost Allocation Guide for State and Local Governments*. This guide may be found at: http://www2.ed.gov/about/offices/list/ocfo/fipao/guideigcwebsite.pdf.

Which indirect cost rate should we use? Should we use the restricted or the unrestricted rate?

HSGI projects can recover indirect costs only on the basis of the restricted indirect cost rate, according to the requirements in 34 CFR 75.563 and 34 CFR 76.564 through 76.569.

What happens if I do not have an agreement in place?

If an applicant decides to charge indirect costs to this program and there is **no** restricted, indirect cost rate in place, the applicant must follow the instructions found in the *Important Information Regarding Restricted Indirect Cost Rates* section of this application package.

Personnel Requirements

Who is the project director?

The project director is the individual designated by the grantee to oversee the implementation of the HSGI grant and to communicate with the Department on all matters related to the grant. Each grantee should ensure that the designated individual has sufficient authority to carry out these responsibilities.

What are the responsibilities of the project director of the grant?

The responsibilities of a project director for an HSGI grant include coordinating grant activities to ensure that they are carried out on time and within budget, overseeing the fiscal management of the project, and fulfilling performance reporting and other requirements established by the Department.

Are there requirements concerning the amount of time the project director must commit to overseeing the grant?

No. The HSGI program has not established a minimum time commitment for this position. However, the time committed to the project by the project director must be commensurate with the size and scope of the project.

Can we contract with a nonprofit organization to assist us with grants management?

A grantee may contract with other entities to provide assistance with the administration of the grant. However, the grantee must supervise the administration of the project and is legally responsible for the use of all grant funds and for ensuring that the project is carried out in

accordance with its approved application and other Federal requirements. These responsibilities cannot be delegated to others through a contract or any other means.

In contracting for services, an SEA must follow the same policies and procedures it uses for procurements from its non-Federal funds. LEAs must use their own procurement procedures, which reflect not only applicable State and local laws and regulations, but also the procurement standards and requirements established by the Department's regulations. These requirements are set out in 34 CFR 80.36(b), which can be found at the link below:

http://www.ed.gov/policy/fund/reg/edgarReg/edlite-part80c.html

Performance Reporting

What performance indicators apply to the HSGI program?

Applicants must identify in their application specific performance indicators and annual performance objectives for each of these indicators:

1. For each high school served by the project, the school's graduation rate, as defined in the State's approved accountability plan for Part A of Title I of the ESEA, as well as the graduation rates for the following subgroups:

    (A) Major racial and ethnic groups;
    (B) Students with disabilities;
    (C) Students with limited English proficiency; and
    (D) Economically disadvantaged students.[1]

2. The number and percentage of students enrolled in grades 9 through 12 in schools or programs served by the project who, during the most recent school year, earned one quarter of the credits necessary to graduate from high school with a regular diploma.

3. The number and percentage of students served by the project who had not attended school for 60 or more instructional days immediately prior to their participation in the project and; and

    (A) The average daily attendance of such students while participating in the project.

4. The number and percentage of students served by the project during the most recent school year who were two or more years behind their expected age and credit accumulation in high school; and

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[1] The Department will identify each school's graduation rate, as well as the graduation rates for the subgroups identified in this section, using the data that are now reported to the Department by SEAs using the EDEN Submission System (ESS). Grantees will not be required to provide these data.

(A) The number and percentage of such students who earned one half or more of the credits they need to graduate with a regular diploma.

5. For each school served by the project that includes an eighth grade--

(A) The average daily attendance of such school; and
(B) The number and percentage of students enrolled in the eighth grade who enrolled in ninth grade at the start of the next school year.

What information must an applicant include in its application concerning the performance indicators?

In its application, an applicant must identify, for each year of the project period, the following:

- Performance objectives for each of the performance indicators.

- A description of other appropriate performance indicators it proposes to use to evaluate the progress of the project and performance objectives for these indicators.

Do we need to have annual performance objectives or just final grant objectives (e.g., at the end of five years)?

Applicants can establish long-range objectives (objectives that measure performance at the end of the project period) or yearly objectives for each goal. If you establish long-range objectives, however, please provide yearly targets. These targets will be used to measure your progress in meeting the goals and objectives outlined in your application.

You will be required to report annually on your success in meeting project goals and objectives. We will make continuation awards only to those grantees that have made substantial progress in achieving their project objectives.

Can you recommend any resources that may be helpful to us in setting project-specific goals and objectives?

Though it is designed for applicants to the Department's Smaller Learning Communities program, *Writing Goals and Objectives: A Guide for Grantees of the Smaller Learning Communities Program* includes information that may be useful to HSGI applicants in developing their project-specific goals and objectives. The guide is available free online at http://slcp.ed.gov/wp-content/uploads/2010/05/SLC-WGandObj-book-F.pdf.

Deadlines

What is the deadline for submitting the notice of intent to apply?

We ask prospective applicants to inform us by email if they intend to apply by July 7, 2010. Submitting a notice of intent to apply is optional. We ask for this information only so that we

can determine how many peer reviewers we will need to evaluate applications. Applicants who do not provide this notification may still submit an application for funds.

Where do I send my notice of intent to apply?

Please email your notice of intent to apply to hsgi@ed.gov. Please put "Notice of Intent to Apply" in the subject header of your message.

Am I required to submit a notice of intent to apply? Can I still submit an application if I did not submit a notice of intent to apply?

Applicants are not required to submit a notice of intent to apply. If you do not submit a notice of intent to apply, you may still submit an application for funding.

By when must applications be submitted?

The deadline for submission of High School Graduation Initiative applications through e-Application is July 28, 2010 by 4:30:00 p.m. Washington, D.C. time.

Grant Award Date and Notification

When will the grant awards be made?

We expect to make awards no later than September 30, 2010.

What date should I use as the project start date?

You should use October 1, 2010 as your project start date.

How will we be notified if we have received a grant award?

You may first hear of your award from one of your Senators or House Representatives. As a courtesy, the Department notifies your members of Congress about the pending award so that they can make the announcement if they wish. We will contact the project director listed in the application by telephone or email and mail two copies of the Grant Award Notification, one to the project director, and the second to the individual identified as the certifying representative in the application.

Regulations

What regulations apply to this program?

The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. (b) The notice of final priorities, requirements, definitions, and selection criteria for this program, published in the Federal Register on July 8, 2005 (70 FR 39499).

Priorities

Are there any absolute priorities that must be addressed in the application?

Yes. There are two absolute priorities in the FY 2010 competition. We will only consider applications that address these two priorities.

Absolute Priority 1: Effective Early Identification, Prevention, and Intervention Programs.
This priority supports projects that propose to establish, enhance, or expand effective early intervention programs designed to identify at-risk students and prevent such students from dropping out of school and effective programs to identify and encourage youth who have already dropped out of school to reenter school and complete their secondary education.

Absolute Priority 2: Collaboration with Other Agencies.
Under this priority, an applicant must include in its application evidence that other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application. Applicants may involve such State agencies as those responsible for administering postsecondary education, Title I of the Workforce Investment Act, Temporary Assistance for Needy Families, Medicaid, the State Children's Health Insurance Program, foster care, juvenile justice, and others. Applicants also may collaborate with business and industry, civic organizations, foundations, and community- and faith-based organizations, among other private-sector entities. Acceptable evidence of collaboration is a memorandum of understanding or other document signed by the principal officer of each participating agency that identifies (1) how the agency will be involved in the implementation of the project or (2) the financial resources (cash or in-kind) that it will contribute to support the project, or both..

Page Limits and Document Formats

How long should our application be? Is there a page limit?

You must limit the project narrative in your application to no more than 50 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the

bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section.

We further encourage applicants to limit resumes to no more than three pages and all other attachments or appendices to no more than 20 pages.

Our reviewers will not read any pages of your application narrative that exceed the page limit.

What about attachments and appendices? Is there a limit on the number of attachments or appendices we can include with our application? Is there a limit on the number of pages in the appendices section?

We have not established a mandatory limit on the number of attachments or appendices you may submit, or the number of pages. However, we recommend strongly that you limit to no more than 20 pages any attachments or appendices that are not resumes; school report cards; the indirect cost agreement; or letters of support. We further encourage applicants to limit resumes to no more than 3 pages.

Are there limits on the types of file formats we can use for our application narrative and the attachments we submit?

Yes. All files you submit must be in one of the following formats: .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you submit a file that is in another format, such as a Microsoft Excel spreadsheet (.XLS) or a Tagged Image File (.TIF) format, we will not review this material.

Selection Criteria

What selection criteria apply to this competition?

The selection criteria that will be used to evaluate applications appear below. The maximum score for a grant application under this program is 100 points. The maximum points assigned to each criterion and sub-criterion are indicated in parentheses.

(a) Need for the Project. In determining the need for the proposed project, we will consider the extent to which the proposed project will target secondary schools serving students in grades 6 through 12 that have the highest annual school dropout rates or the middle schools that feed students into those secondary schools (10 points).

(b) Quality of Project Services.

        (1) In determining the quality of the services to be provided by the proposed project, we will consider the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability (5 points).
        (2) In addition, we will consider the following:
        (A) The likely effectiveness, based on research, data, and the needs of the target population, to implement the proposed project, of--

(i) The early intervention programs that the proposed project will implement to identify at-risk students, based on data; and

(ii) The dropout prevention programs that the proposed project will carry out (15 points);

(B) The extent to which the proposed project is likely to be effective, based on research, data, and the needs of the target population, in identifying and assisting youth who have already dropped out of school to reenter school and complete their secondary education (25 points);

(C) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services (5 points);

(D) The extent to which the activities to be assisted conform with research knowledge about school dropout prevention and reentry (10 points); and

(E) The extent to which the services to be provided by the proposed project involve the collaboration and commitment of appropriate partners for maximizing the effectiveness of project services (7 points).

(c) Quality of the Management Plan. In determining the quality of the management plan for the proposed project, we will consider the following:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including the extent to which the plan clearly defines the roles and responsibilities of each agency and its key personnel and establishes detailed timelines and milestones for accomplishing each of the project tasks (15 points); and

(2) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project (3 points).

(d) Quality of Assessment of Project Effectiveness. In determining the quality of the applicant's plan to assess the project's effectiveness, we consider the extent to which the methods proposed by the applicant are sufficiently rigorous to determine the effectiveness of the project (5 points).

Do I have to submit my application electronically?

For this competition it is **mandatory** for applicants to submit their application electronically using e-Application through the Department's e-Grants system (accessible through the e-Grants portal page at: http://e-grants.ed.gov).

You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date.

You should review and follow the Education Submission Procedures for submitting an application through **e-Application** that are included in the application package to ensure that you submit your application in a timely manner.

Please note the following:
- You must attach any narrative sections of your application as files in a **.doc** (document), **.rtf** (rich text), or **.pdf** (Portable Document) format**.** If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

- You must submit all documents electronically through the e-Application system, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- **Keep in mind that e-Application is not operational 24 hours a day.** The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- Your electronic application **must comply** with any page-limit requirements described in this application package.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

Is the application available in accessible formats?

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

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Application Submission Procedures

The deadline for submission of High School Graduation Initiative applications through e-Application is July 28, 2010 by 4:30:00 p.m. Washington, D.C. time.

Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. Please note that you **must** follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Applications Submitted Electronically

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site at http://e-grants.ed.gov.

While completing your electronic application, you will be entering data online that will be saved into a database. You may **not** e-mail an electronic copy of a grant application to us.

You should review and follow the *e-Application Submission Procedures and Tips for Applicants* in this application package to ensure that you submit your application in a timely manner to the e-Application system.

Please note the following:
- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- If you are experiencing problems submitting your application through e-Application, please contact the e-Grants help desk, toll free, at 1-888-336-8930.
- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission

requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
- Your electronic application must comply with any page limit requirements described in the *Federal Register* notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
    1) Print SF 424 from e-Application.
    2) The applicant's Authorizing Representative must sign this form.
    3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.
    4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.
- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application System Unavailability
If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if—
    1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
    2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or
       (b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed in the Federal Register notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

Exception to the Electronic Submission Requirement

According to the instructions found in the Federal Register notice, <u>only those requesting and qualifying</u> for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

Submission of Paper Applications by Mail:
If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.360A)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:
(1) A legibly dated U.S. Postal Service postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

<u>Note</u>: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

Submission of Paper Applications by Hand Delivery:
If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.360A)
550 12th Street, SW.
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications:
If you mail or hand deliver your application to the Department--
>   (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
>   (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

e-Application Submission Procedures and Tips for Applicants

http://e-grants.ed.gov

To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION
Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

>   Step 1 – Electronic submission is **required** for this competition. **Familiarize** yourself with the application requirements published in the Federal Register Notice. A copy of the Federal Register Notice is included in this application package. In addition, you may view the Department's Federal Register notices online at:
http://www.ed.gov/news/fedregister/announce/index.html.

>   Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page http://e-grants.ed.gov/, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In

order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

   Step 3 - **Add Application Package to your Start Page**. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

   Step 4 - **Begin the Application**. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

   Step 5 - **Fill out Forms**. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

   Step 6 - **Upload File(s) for Narrative Responses**. Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

   Step 7 - **Verify Information/Print Application**. Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

   Step 8 - **Submit your Application**. Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records.

[Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page**. Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at http://e-grants.ed.gov.

Other Submission Tips

1) **SUBMIT EARLY** - **We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.

2) Electronic submission is <u>required</u> and you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement <u>and</u> submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

3) Dial-Up Internet Connections - When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the <u>Federal Register</u> application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an

earlier version of Word before uploading. Also, do not upload any password-protected files to your application.

2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

Electronic Application Format

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

It is recommended that your electronic application be organized in the following manner (see next page) and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on http://e-grants.ed.gov.

We strongly recommend that you review these details on http://e-grants.ed.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below.

Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application.

Electronic Application Submission Checklist

Review your electronic application to ensure you have completed the following forms and sections:

Part 1: Preliminary Documents
❑ Application for Federal Assistance (form SF 424)
❑ ED Supplemental Information for SF 424

Part 2: Budget Information
❑ ED Budget Information Non-Construction Programs (ED Form 524)

Part 3: ED Abstract Form
❑ Project Abstract

Part 4: Project Narrative Attachment Form
❑ Application Narrative

Part 5: Budget Narrative Attachment Form
❑ Budget Narrative

Part 6: Appendix A- Required Eligibility Documents
❑ Evidence that schools included in the application have dropout rates that exceed the State average.
❑ Evidence that other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application (such as memoranda of understanding or letters of commitment.

Part 7: Appendix B- Other
❑ Other documents including resumes of project personnel, bibliography, or other relevant documents, e.g., copy of consortium agreement (as applicable)

Part 8: Assurances and Certifications
❑ Assurances – Non-Construction Programs (SF 424B Form)
❑ Disclosure of Lobbying Activities (Standard Form LLL)
❑ Certification Regarding Lobbying (ED 80-0013 Form)
❑ General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 Form)

Part 9: Intergovernmental Review of Federal Programs (Executive Order 12372)

The Department of Education has waived the requirements of Executive Order 12372 for the FY 2010 HSGI competition.

Part 1: Preliminary Documents

❑ Application for Federal Assistance (Form SF 424)
❑ ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

Applicants are advised to complete the Application for Federal Assistance (SF 424) <u>first</u>. The e-Application system will insert applicant information automatically on the other forms.

<u>Note</u>: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application.

Funding Opportunity Number

<u>Item 12</u> of the SF 424 asks the applicant to identify the Funding Opportunity Number of this competition. This number is ED-GRANTS-061810-002.

Authorized Representative

<u>Item 21</u> of the SF 424 requires the signature of the applicant's authorized representative.   This individual must be an individual who has been authorized by the governing body for your LEA or SEA to sign the application. Often this is the superintendent of schools or in the case of an SEA, this is the chief state school officer.   You must maintain in your files a copy of the governing body's authorization for this individual to sign the application as the LEA's or SEA's official representative.

INSTRUCTIONS FOR THE SF-424

This is a standard form required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the federal agency (agency). Required fields on the form are identified with an asterisk (*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	**Type of Submission:** (Required) Select one type of submission in accordance with agency instructions. • Pre-application • Application • Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.	10.	**Name Of Federal Agency**: (Required) Enter the name of the federal agency from which assistance is being requested with this application.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award D. Decrease Duration B. Decrease Award E. Other (specify) C. Increase Duration	11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
		12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement. The FON can also be found at http://www.grants.gov/applicants/find_grant_opportunities.jsp.
		13.	**Competition Identification Number/Title:** Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	**Applicant Identifier:** Enter the entity identifier assigned buy the Federal agency, if any, or the applicant's control number if applicable.		
5a.	**Federal Entity Identifier**: Enter the number assigned to your organization by the federal agency, if any.	16.	**Congressional Districts Of**: 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the

28

Item	Entry:	Item:	Entry:
5b.	**Federal Award Identifier**: For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00-000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the state, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	**Estimated Funding:** (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** (Required) Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State.
	d. Address: Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.

Item	Entry:	Item:	Entry:
	e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity. **f. Name and contact information of person to be contacted on matters involving this application:** Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.	21.	**Authorized Representative**: To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.)
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)		

Instructions for the ED Supplemental Information for SF 424

1. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. **Novice Applicant.** Check **"Yes"** or "**No**" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check "**Yes"** if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Department of Education Supplemental Information for SF 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "**No**" if you do not meet the requirements for novice applicants**.**

3. **Human Subjects Research.** (See I. A. "Definitions" in attached page entitled "Definitions for Department of Education Supplemental Information For SF 424.")

If Not Human Subjects Research. Check "**No**" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check "**Yes**" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "**Yes**" even if the research is exempt from the regulations for the protection of human subjects. (See I. B. "Exemptions" in attached page entitled "Definitions for Department of Education Supplemental Information For SF 424.")

If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "**Yes**" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six

exemption categories listed in I. B. "Exemptions." In addition, follow the instructions in II. A. "Exempt Research Narrative" in the attached page entitled "Definitions for Department of Education Supplemental Information For SF 424."

If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "**No**" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. "Nonexempt Research Narrative" in the page entitled "Definitions for Department of Education Supplemental Information For SF 424

Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control

number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;

- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and

- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic

investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.
If the subjects are children, exemption 2 applies only to
research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that

subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.
If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics**: Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials**: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent**: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks**: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk**: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained**: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s)**: If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: http://www.ed.gov/about/offices/list/ocfo/humansub.html

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Part 2: Budget Information

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 60 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided below:

Name of Institution/Organization: Enter the name of the applicant in the space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6. Applicants should budget for a two-day meeting for project directors to be held annually in Washington, DC.

Equipment (line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or $5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): *Please review the Important Information Regarding Restricted Indirect Cost Rates found in this application package.*

This program has a statutory requirement prohibiting the use of Federal funds to supplant non-Federal funds. Under 34 CFR 75.563, if a grantee decides to charge indirect costs to a program

with this type of statutory requirement, the grantee shall use a **restricted** indirect cost rate computed under 34 CFR 76.564 through 76.569.

Indicate the applicant's approved**, restricted,** indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant decides to charge indirect costs to this program and there is a **<u>no</u>** restricted, indirect cost rate in place, the applicant must follow the instructions found in the *Important Information Regarding Restricted Indirect Cost Rates* section of this application package.

<u>Training Stipends (line 11):</u> This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program. *Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in <u>Personnel</u> (line 1).*

Instructions for ED 524

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

If you are required to provide or volunteer to provide matching funds or other non-federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the project.

Part 3: ED Abstract Form

*The Project Abstract should be attached as a **single document** in accordance with the instructions found on http://e-grants.ed.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

You must attach any narrative sections of your application as files in a **.doc** (document), **.rtf** (rich text), or **.pdf** (Portable Document) format**.** If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

❑ Project Abstract

The project abstract should not exceed one single-spaced page and should include a concise description of the following:

- Project purpose
- Project goals and objectives
- Project activities
- Other public or private entities that will be involved in the project

In addition to the narrative, please provide the following information for each school named in the application:

- Name and location of school
- Annual school dropout rate

Part 4: Project Narrative Attachment Form

❑ Table of Contents
❑ Application Narrative

The Project Narrative should be attached in accordance with the instructions found on <u>http://e-</u>
<u>grants.ed.gov</u> and should be organized in the following manner and include the following parts
in order to expedite the review process.

You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF**
(rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three
file types specified in this paragraph or submit a password-protected file, we will not review that
material.

The **Table of Contents** shows where and how the important sections of your proposal are
organized and should not exceed **one** double spaced page.

The **Project Narrative** where you address the selection criteria that reviewers use to evaluate
your application and should follow the order of the selection criteria:

> (a) <u>Need for the Project</u>
>
> (b) <u>Quality of Project Services</u>
>
> (c) <u>Quality of the Management Plan</u>
>
> (d) <u>Quality of Assessment of Project Effectiveness</u>

You must limit the application narrative to no more than 50 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both
  sides.
- Double space (no more than three lines per vertical inch) all text in the application
  narrative, including titles, headings, footnotes, quotations, references, and captions, as
  well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per
  inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An
  application submitted in any other font (including Times Roman or Arial Narrow) will
  not be accepted.

The page limit does not apply to the cover sheet; the budget section, including the narrative
budget justification; the assurances and certifications; or the one-page abstract, the resumes, the
bibliography, or the letters of support. However, the page limit does apply to all of the
application narrative section.

Our reviewers will not read any pages of your application narrative that exceed the page limit.

Part 5: Budget Narrative

The Budget Narrative should be attached in accordance with the instructions found on http://e-grants.ed.gov and should be organized in the following manner and include the following parts in order to expedite the review process.

You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material. **We will not review files attached in Excel (.XLS).**

Each applicant must provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative should provide a description of how the money requested for each budget item will be spent.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 60 months).

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

Important Notes
- Applicants are encouraged to review OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* in preparing their budget and budget narrative. OMB Circular A-87 may be found at the following link:

  http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html

Suggested Guidelines for the Budget Narrative
In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

Important note: **This program has a statutory requirement prohibiting the use of Federal funds to supplant non-Federal funds. Funds provided under this program must be used only to supplement, and not supplant, other non-Federal funds that are available for the purposes of this program.**

Remember that you must include the information below for both the Federal funds you are requesting (ED Form 524 section A) and, if applicable, any matching funds you identified (ED

Form 524 Section B)

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

1. Personnel
- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.

2. Fringe Benefits
- Give the fringe benefit percentages of all personnel included under <u>Personnel</u>.
- Provide the rate and base on which fringe benefits are calculated.

3. Travel
- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
  - Provide the basis for cost estimates or computations.

4. Equipment
- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
  - Explain the purpose of the equipment, and how it relates to project success.
  - Provide the basis for cost estimates or computations.

5. Supplies
- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
  - Explain the purpose of the supplies and how they relate to project success.
  - Provide the basis for cost estimates or computations.

6. Contractual
- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
  - For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
  - Provide a brief statement that you have followed the procedures for procurement

7. Construction
- Not applicable.

8. Other
- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = $500, postage = $750).
- Provide the purpose for the expenditures and relation to project success.
    - Provide the basis for cost estimates or computations.

9. Total Direct Costs
- The amount that is the sum of expenditures, per budget category, of lines 1-8.

10. Indirect Costs
- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)

Note 1: This program has a statutory requirement prohibiting the use of Federal funds to supplant non-Federal funds. Under 34 CFR 75.563, if a grantee decides to charge indirect costs to a program with this type of statutory requirement, the grantee shall use a **restricted** indirect cost rate computed under 34 CFR 76.564 through 76.569.

Indicate the applicant's approved**, restricted,** indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant decides to charge indirect costs to this program and there is a **no** restricted, indirect cost rate in place, the applicant must follow the instructions found in the *Important Information Regarding Restricted Indirect Cost Rates* section of this application package.

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs on projects funded by the HSGI program (CFDA 84.330C). In order to charge indirect costs to this program, a grantee must have a currently approved Indirect Cost Rate (ICR) agreement. The ICR must be negotiated with and approved by the grantee's cognizant agency, i.e., either (1) the federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the federal agency specifically assigned cognizance by the Office of Management and Budget; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received).

Note 2: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR being used in the budget. Applicants should be aware that ED is very often not the cognizant agency for its grantees. Rather, ED accepts the currently approved ICR established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed ICR using current information in the audited financial statements, actual cost data or the Internal Revenue Service Form 990. Applicants should use this proposed rate in the application materials and indicate the documentation used to calculate the rate. Guidance related to calculating an ICR can be found on ED's website at http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html.

An applicant selected for funding, that does not have a currently approved ICR, must review and follow the final regulations published at 34 CFR 75.560 in the Federal Register on December 7, 2007 (72 FR 69145). The rules allow for a temporary ICR of 10% of budgeted salaries and wages and require the grantee to submit an ICR proposal within 90 days after issuance of the grant award notification.

Applicants with questions about charging indirect costs on this program should contact the program contact person noted elsewhere in this application package.

11. Training Stipends
- Not applicable.

12. Total Costs
- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 60 months)

Part 6: Appendix A- Required Eligibility Documents

Attach the required eligibility documentation in accordance with the instructions found on http://e-grants.ed.gov. The documentation should be organized in the following manner and include the following parts in order to expedite the review process.

You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

❑ Evidence that schools included in the application have dropout rates that exceed the State average.
❑ Evidence that other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application (such as memoranda of understanding or letters of commitment.

Note: Two separate documents should be uploaded for Part 6:

- One document providing evidence of schools included in the application have dropout rates that exceed the State average; and
- A separate document providing evidence those other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application.

Part 7: Appendix B--Other

*Attach other relevant documents in a **single document** in accordance with the instructions found on http://e-grants.ed.gov.*

You must attach any narrative sections of your application as files in a **.DOC** (document), **.RTF** (rich text), or **.PDF** (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

We strongly encourage applicants to limit resumes to no more than three pages and all other attachments or appendices to no more than 20 pages.

❑ **Appendix B- Other:** Other documents including resumes of project personnel, bibliography, or other relevant documents, e.g., copy of consortium agreement (as applicable).

Part 8: Assurances and Certifications

Be certain to complete all required assurances and certifications in <u>http://e-grants.ed.gov</u>, and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

❑ Assurances – Non-Construction Programs (SF 424B Form)
The purpose of this form is to certify that the applicant and its authorized representative are aware of the legal requirements of the grant and are willing to comply with them.

❑ Disclosure of Lobbying Activities (SF LLL Form) (if applicable)
The purpose of this form is to disclose any lobbying activities that use non-Federal funds to influence Congress in the grant-making progress. If this does not apply to you do not need to include this form in your submission.

❑ Certification Regarding Lobbying (ED 80-0013 Form)
The purpose of this form is to certify that the applying organization has not and will not lobby Congress in connection with the grant, and that if any non-Federal funds have been used to lobby, this information will be disclosed on Standard Form LLL.

❑ General Education Provisions Act (GEPA) Requirements – Section 427
Section 427 of GEPA requires the applicant, as a condition of receiving a grant, to identify barriers to equitable participation in its Federally assisted program and to provide a description of the steps it will take to overcome the barriers. Barriers might include gender, race, national origin, disability, age, language background, or other unique factors in the setting in which the program will be carried out. A general statement of the applicant's nondiscrimination policy is not sufficient to meet this requirement.

Part 9: Intergovernmental Review of Federal Programs (Executive Order 12372)

The Department of Education has waived the requirements of Executive Order 12372 for the FY 2010 HSGI competition.

Reporting and Accountability

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the High School Graduation Initiative Program:

1. For each high school served by the project, the school's graduation rate, as defined in the State's approved accountability plan for Part A of Title I of the ESEA, as well as the graduation rates for the following subgroups:

    (A) Major racial and ethnic groups;
    (B) Students with disabilities;
    (C) Students with limited English proficiency; and
    (D) Economically disadvantaged students.

2. The number and percentage of students enrolled in grades 9 through 12 in schools or programs served by the project who, during the most recent school year, earned one quarter of the credits necessary to graduate from high school with a regular diploma.

3. The number and percentage of students served by the project who had not attended school for 60 or more instructional days immediately prior to their participation in the project and; and

    (A) The average daily attendance of such students while participating in the project.

4. The number and percentage of students served by the project during the most recent school year who were two or more years behind their expected age and credit accumulation in high school; and

    (A) The number and percentage of such students who earned one half or more of the credits they need to graduate with a regular diploma.

5. For each school served by the project that includes an eighth grade--

    (A) The average daily attendance of such school; and
    (B) The number and percentage of students enrolled in the eighth grade who enrolled in ninth grade at the start of the next school year.

Legal and Regulatory Information

Notice inviting applications

DEPARTMENT OF EDUCATION
Office of Elementary and Secondary Education
Overview Information
High School Graduation Initiative
Notice inviting applications for new awards for fiscal year (FY) 2010.
Catalog of Federal Domestic Assistance (CFDA) Number: 84.360.
Dates:
Applications Available: June 18, 2010.
Deadline for Notice of Intent to Apply: July 7, 2010.
Deadline for Transmittal of Applications: July 28, 2010.
Full Text of Announcement
I. Funding Opportunity Description
Purpose of Program: The High School Graduation Initiative (formerly known as the School Dropout Prevention (SDP) program) awards grants to local educational agencies (LEAs) and State educational agencies (SEAs) to support the implementation of effective, sustainable, and coordinated dropout prevention and reentry programs in schools that serve students in grades 6 through 12 and that have event dropout rates that are above the State average event dropout rate or are middle schools that feed students into such schools.[2]
Priorities: This notice includes two priorities. In accordance with 34 CFR 75.105(b)(2)(v), Priority 1 is from the allowable activities specified in the statute (see section 1825(1) of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 6561d(1)). Priority 2 is from the notice of final priorities, requirements, definitions, and selection criteria for the SDP program, published in the Federal Register on July 8, 2005 (70 FR 39499) (2005 SDP program NFP).
Absolute Priorities: For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.
        These priorities are:
Absolute Priority 1: Effective Early Identification, Prevention, and Intervention Programs.
        This priority supports projects that propose to establish, enhance, or expand effective early intervention programs designed to identify at-risk students and prevent such students from dropping out of school and effective programs to identify and encourage youth who have already dropped out of school to reenter school and complete their secondary education (20 U.S.C. 6561d(1)).
Absolute Priority 2: Collaboration with Other Agencies.

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[2] According to the National Center for Education Statistics (NCES), in the 2007-08 school year, the most recent school year for which data are available, the national event dropout rate for public high schools in the 49 reporting States and the District of Columbia was 4.1 percent. The rate ranged from 1.7 percent in Indiana and New Jersey to 7.5 percent in Louisiana. Twenty-six States had event dropout rates for public high schools of 4 percent or less; four States had event dropout rates for public high schools of 6 percent or more (Stillwell, R. (2010). Public School Graduates and Dropouts From the Common Core of Data: School Year 2007–08 (NCES 2010-341)).

Under this priority, an applicant must include in its application evidence that other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application. Applicants may involve such State agencies as those responsible for administering postsecondary education, Title I of the Workforce Investment Act, Temporary Assistance for Needy Families, Medicaid, the State Children's Health Insurance Program, foster care, juvenile justice, and others. Applicants also may collaborate with business and industry, civic organizations, foundations, and community- and faith-based organizations, among other private-sector entities. Acceptable evidence of collaboration is a memorandum of understanding or other document signed by the principal officer of each participating agency that identifies (1) how the agency will be involved in the implementation of the project or (2) the financial resources (cash or in-kind) that it will contribute to support the project, or both.

Definitions. In addition to the definitions in the authorizing statute and 34 CFR 77.1, the following definitions also apply to this program. These definitions are from the 2005 SDP program NFP.

High school dropout means an individual who--

(a) Was enrolled in a district in grades nine through 12 at some time during the preceding school year;

(b) Was not enrolled at the beginning of the current school year;

(c) Has not graduated or completed a program of studies by the maximum age established by a State;

(d) Has not transferred to another public school district, a nonpublic school, or a State-approved educational program; and

(e) Has not left school because of death, illness, or a school-approved absence.

State event dropout rate means the dropout rate calculated by dividing the number of high school dropouts (as defined elsewhere in this notice) in the State by the total number of students enrolled in grades 9 through 12 in public schools in the State during the current school year. This calculation is based upon the annual school event dropout rate calculation of the National Center for Education Statistics' Common Core of Data.

School event dropout rate means the dropout rate calculated by dividing the number of high school dropouts (as defined elsewhere in this notice) in a school by the total number of students enrolled in grades 9 through 12 in that school during the current school year.

Program Authority: 20 U.S.C. 6551 et seq. and the 2010 Consolidated Appropriations Act, P.L. 111-117.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. (b) The notice of final priorities, requirements, definitions, and selection criteria for the SDP program, published in the Federal Register on July 8, 2005 (70 FR 39499).

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: $45,000,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2011 from the list of unfunded applicants from this competition.

Estimated Range of Awards: $350,000-$3,000,000.

Estimated Average Size of Awards: $900,000.

Maximum Award: We will reject any application that proposes a budget exceeding $3,000,000 for a single budget period of 12 months. The Assistant Secretary for Elementary and Secondary

Education may change the maximum amount through a notice published in the <u>Federal Register</u>.
<u>Estimated Number of Awards</u>: 50.
<u>Note</u>: The Department is not bound by any estimates in this notice.
<u>Project Period</u>: Up to 60 months.
III. Eligibility Information

      1. <u>Eligible Applicants</u>:

      (a) SEAs to support activities in--

      (i) schools that--

      (A) serve students in grades 6 through 12; and

      (B) have annual school dropout rates that are above the State average annual school dropout rate; or

      (ii) middle schools that feed students into schools that serve students in grades 6 through 12 and have annual school dropout rates that are above the State average annual school dropout rate.

      (b) LEAS that operate—

      (i) schools that--

      (A) serve students in grades 6 through 12; and

      (B) have annual school dropout rates that are above the State average annual school dropout rate; or

      (ii) middle schools that feed students into schools serve students in grades 6 through 12 and that have annual school dropout rates that are above the State average annual school dropout rate.

      <u>Note</u>: Applicants must identify the specific schools that will receive project services and provide evidence that, using the most recent available data, those schools serve students in grades 6 through 12, and have annual school dropout rates that are above the State average annual school dropout rate or are middle schools that feed students into schools that serve students in grades 6 through 12 and that have annual school dropout rates that are above the State average annual school dropout rate.

      2. a. <u>Cost Sharing or Matching</u>: This program does not require cost sharing or matching.

      b. <u>Supplement-Not-Supplant</u>: This program involves supplement-not-supplant funding requirements (See section 1823(b)(1)(F) of the ESEA (20 U.S.C. 6561b(b)(1)(F)). This restriction also has the effect of allowing projects to recover indirect costs only on the basis of a restricted indirect cost rate, according to the requirements in 34 CFR 75.563 and 34 CFR 76.564 through 76.569.
IV. Application and Submission Information

      1. <u>Address to Request Application Package</u>: Theda Zawaiza, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E122, Washington, DC 20202. Telephone: (202) 205-3783 or by e-mail: hsgi@ed.gov.

      If you use a telecommunications device for the deaf (TDD), call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

      Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. <u>Content and Form of Application Submission</u>: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Notice of Intent to Apply: July 7, 2010.

We will be able to develop a more efficient process for reviewing grant applications if we have a better understanding of the number of entities that intend to apply for funding. Therefore, we strongly encourage each potential applicant to send a notification of its intent to apply for funding to hsgi@ed.gov by July 7, 2010. The notification of intent to apply for funding is optional. Applicants that do not supply this e-mail notification may still apply for funding.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to no more than 50 pages, using the following standards:

• A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

• Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

• Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

• Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section.   We further encourage applicants to limit resumes to no more than three pages and all other attachments or appendices to no more than 20 pages.

Our reviewers will not read any pages of your application narrative that exceed the page limit.

3. <u>Submission Dates and Times</u>:

Applications Available: June 18, 2010.

Notice of Intent to Apply: July 7, 2010

Deadline for Transmittal of Applications: July 28, 2010.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. <u>Other Submission Requirements</u> of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under <u>For Further Information Contact</u> in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education, (1) you must have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN); (2) you must register both of those numbers with the Central Contractor Registry (CCR), the Government's primary registrant database; and (3) you must provide those same numbers on your application.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

7. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the High School Graduation Initiative--CFDA Number 84.360 must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: http://e-grants.ed.gov.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

• You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

• The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00

a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

• You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

• You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

• Your electronic application must comply with any page limit requirements described in this notice.

• Prior to submitting your electronic application, you may wish to print a copy of it for your records.

• After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

• Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:

(1) Print SF 424 from e-Application.

(2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

• We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who

have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through e-Application because----

  • You do not have access to the Internet; or
  • You do not have the capacity to upload large documents to e-Application;

<div align="center">and</div>

  • No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Theda Zawaiza, U.S. Department of Education, 400 Maryland Avenue, SW., room E3122, Washington, DC 20202. FAX: (202) 205-4921.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.360)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:
(1) A legibly dated U.S. Postal Service postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:
(1) A private metered postmark.
(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

   c. Submission of Paper Applications by Hand Delivery.

   If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

  U.S. Department of Education
  Application Control Center
  Attention: (CFDA Number 84.360)
  550 12th Street, SW.
  Room 7041, Potomac Center Plaza
  Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

   (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

   (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

   Selection Criteria: The following selection criteria will be used to evaluate applications for new grants under this program. The selection criteria for this competition are from 34 CFR 75.210, and, where otherwise noted, the 2005 SDP program NFP, and sections 1823 and 1825 of the ESEA.

Note: The maximum score for a grant application under this program is 100 points. The maximum points assigned to each criterion and sub-criterion are indicated in parentheses.

   (a) Need for the Project. In determining the need for the proposed project, we will consider the extent to which the proposed project will target secondary schools serving students in grades 6 through 12 that have the highest annual school dropout rates or the middle schools that feed students into those secondary schools (20 U.S.C 6561b(b)(1)(A)(ii)) (10 points).

   (b) Quality of Project Services.

   (1) In determining the quality of the services to be provided by the proposed project, we will consider the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability (5 points).

   (2) In addition, we will consider the following:

   (A) The likely effectiveness, based on research, data, and the needs of the target population, to implement the proposed project, of--

   (i) The early intervention programs that the proposed project will implement to identify at-risk students, based on data (20 U.S.C. 6561d(1)(A)); and

(ii) The dropout prevention programs that the proposed project will carry out (20 U.S.C. 6561a(a)(1)(B)) (15 points);

(B) The extent to which the proposed project is likely to be effective, based on research, data, and the needs of the target population, in identifying and assisting youth who have already dropped out of school to reenter school and complete their secondary education (20 U.S.C. 6561d(1)(C)) (25 points);

(C) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services (5 points);

(D) The extent to which the activities to be assisted conform with research knowledge about school dropout prevention and reentry (20 U.S.C. 6561b(b)(1)(G)) (10 points); and

(E) The extent to which the services to be provided by the proposed project involve the collaboration and commitment of appropriate partners for maximizing the effectiveness of project services (7 points).

c. Quality of the Management Plan. In determining the quality of the management plan for the proposed project, we will consider the following:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including the extent to which the plan clearly defines the roles and responsibilities of each agency and its key personnel and establishes detailed timelines and milestones for accomplishing each of the project tasks (2005 SDP program NFP) (15 points); and

(2) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project (3 points).

d. Quality of Assessment of Project Effectiveness. In determining the quality of the applicant's plan to assess the project's effectiveness, we consider the extent to which the methods proposed by the applicant are sufficiently rigorous to determine the effectiveness of the project (20 U.S.C. 6561b(b)(1)(A)(iii)) (5 points).

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Grant Administration: Projects funded under this competition are encouraged to budget for a two-day meeting for project directors to be held annually in Washington, DC.

4. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR

75.720(c). For specific requirements on reporting, please go to
www.ed.gov/fund/grant/apply/appforms/appforms.html.

     5. <u>Performance Measures</u>: The Department has established the following Government
Performance and Results Act of 1993 (GPRA) performance measures for this program:

     (1) For each high school served by the project, the school's graduation rate, as defined in
the State's approved accountability plan for Part A of Title I of the ESEA, as well as the
graduation rates for the following subgroups:

     (A) Major racial and ethnic groups;

     (B) Students with disabilities;

     (C) Students with limited English proficiency; and

     (D) Economically disadvantaged students.

<u>Note</u>: The Department will identify each school's graduation rate, as well as the graduation rates
for the subgroups identified in this section, using the data that are now reported to the
Department by SEAs using the EDEN Submission System (ESS). Grantees will not be required
to provide these data.

     (2) The number and percentage of students enrolled in grades 9 through 12 in schools or
programs served by the project who, during the most recent school year, earned one quarter of
the credits necessary to graduate from high school with a regular diploma.

     (3)(A) The number and percentage of students served by the project who had not
attended school for 60 or more instructional days immediately prior to their participation in the
project; and

     (B) The average daily attendance of such students while participating in the project.

     (4)(A) The number and percentage of students served by the project during the most
recent school year who were two or more years behind their expected age and credit
accumulation in high school; and

     (B) The number and percentage of such students who earned one half or more of the
credits they need to graduate with a regular diploma.

     (5) For each school served by the project that includes an eighth grade--

     (A) The average daily attendance of such school; and

     (B) The number and percentage of students enrolled in the eighth grade who enrolled in
ninth grade at the start of the next school year.

     These measures constitute the Department's indicators of success for this program.
Consequently, we advise an applicant for a grant under this program to give careful
consideration to these measures in conceptualizing the approach and evaluation for its proposed
project. Each grantee will be required to provide, in its annual performance and final reports,
data about its progress in meeting these measures.

VII. Agency Contacts

<u>For Further Information Contact</u>: Theda Zawaiza, U.S. Department of Education, 400 Maryland
Avenue, SW. room 3E122, Washington, DC 20202. Telephone: (202) 205-3783 or by e-mail:
hsgi@ed.gov.

     If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

VIII. Other Information

<u>Accessible Format</u>: Individuals with disabilities can obtain this document and a copy of the
application package in an accessible format (e.g., braille, large print, audiotape, or computer
diskette) on request to either program contact person listed under <u>For Further Information
Contact</u> in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html.
Dated: June 15, 2010

_____/s/_____
Thelma Meléndez de Santa Ana,
Assistant Secretary for Elementary
and Secondary Education.

Program Statute

Program Authority: 20 U.S.C. 6551 et seq.

Electronic version of the statute available online:
http://www2.ed.gov/policy/elsec/leg/esea02/pg15.html

ELEMENTARY & SECONDARY EDUCATION
Part H — School Dropout Prevention

SEC. 1801. SHORT TITLE.
> This part may be cited as the 'Dropout Prevention Act'.

SEC. 1802. PURPOSE.
> The purpose of this part is to provide for school dropout prevention and reentry and to raise academic achievement levels by providing grants that —
>> (1) challenge all children to attain their highest academic potential; and
>> (2) ensure that all students have substantial and ongoing opportunities to attain their highest academic potential through schoolwide programs proven effective in school dropout prevention and reentry.

SEC. 1803. AUTHORIZATION OF APPROPRIATIONS.
> For the purpose of carrying out this part, there are authorized to be appropriated $125,000,000 for fiscal year 2002 and such sums as may be necessary for each of the 5 succeeding fiscal years, of which —
>> (1) 10 percent shall be available to carry out subpart 1 for each fiscal year; and
>> (2) 90 percent shall be available to carry out subpart 2 for each fiscal year.
> purposes of serving schools funded by the Bureau.

SEC. 1822. PROGRAM AUTHORIZED.
> (a) GRANTS TO STATE EDUCATIONAL AGENCIES AND LOCAL EDUCATIONAL AGENCIES-
>> (1) AMOUNT LESS THAN $75,000,000-
>>> (A) IN GENERAL- If the amount appropriated under section 1803 for a fiscal year equals or is less than $75,000,000, then the Secretary shall use such amount to award grants, on a competitive basis, to —
>>>> (i) State educational agencies to support activities —
>>>>> (I) in schools that —

(aa) serve students in grades 6 through 12; and

(bb) have annual school dropout rates that are above the State average annual school dropout rate; or

>>>>> (II) in the middle schools that feed students into the schools described in subclause (I); or

(ii) local educational agencies that operate —
(I) schools that —

(aa) serve students in grades 6 through 12; and

(bb) have annual school dropout rates that are above the State average annual school dropout rate; or

(II) middle schools that feed students into the schools described in subclause (I).

(B) USE OF GRANT FUNDS- Grant funds awarded under this paragraph shall be used to fund effective, sustainable, and coordinated school dropout prevention and reentry programs that may include the activities described in subsection (b)(2), in —
(i) schools serving students in grades 6 through 12 that have annual school dropout rates that are above the State average annual school dropout rate; or
(ii) the middle schools that feed students into the schools described in clause (i).
(2) AMOUNT LESS THAN $250,000,000 BUT MORE THAN $75,000,000- If the amount appropriated under section 1803 for a fiscal year is less than $250,000,000 but more than $75,000,000, then the Secretary shall use such amount to award grants, on a competitive basis, to State educational agencies to enable the State educational agencies to award subgrants under subsection (b).
(3) AMOUNT EQUAL TO OR EXCEEDS $250,000,000- If the amount appropriated under section 1803 for a fiscal year equals or exceeds $250,000,000, then the Secretary shall use such amount to award a grant to each State educational agency in an amount that bears the same relation to such appropriated amount as the amount the State educational agency received under part A for the preceding fiscal year bears to the amount received by all State educational agencies under such part for the preceding fiscal year, to enable the State educational agency to award subgrants under subsection (b).
(b) SUBGRANTS TO LOCAL EDUCATIONAL AGENCIES-
(1) IN GENERAL- From amounts made available to a State educational agency under paragraph (2) or (3) of subsection (a), the State educational agency shall award subgrants, on a competitive basis, to local educational agencies that operate public schools that serve students in grades 6 through 12 and that have annual school dropout rates that are above the State average annual school dropout rate, to enable those schools, or the middle schools that feed students into those schools, to implement effective, sustainable, and coordinated school dropout prevention and reentry programs that involve activities such as —
(A) professional development;
(B) obtaining curricular materials;
(C) release time for professional staff to obtain professional development;
(D) planning and research;

(E) remedial education;

(F) reduction in pupil-to-teacher ratios;

(G) efforts to meet State student academic achievement standards;

(H) counseling and mentoring for at-risk students;

(I) implementing comprehensive school reform models, such as creating smaller learning communities; and

(J) school reentry activities.

(2) AMOUNT- Subject to paragraph (3), a subgrant under this subpart shall be awarded —

(A) in the first year that a local educational agency receives a subgrant payment under this subpart, in an amount that is based on factors such as —

(i) the size of schools operated by the local educational agency;

(ii) costs of the model or set of prevention and reentry strategies being implemented; and

(iii) local cost factors such as poverty rates;

(B) in the second year, in an amount that is not less than 75 percent of the amount the local educational agency received under this subpart in the first such year;

(C) in the third year, in an amount that is not less than 50 percent of the amount the local educational agency received under this subpart in the first such year; and

(D) in each succeeding year, in an amount that is not less than 30 percent of the amount the local educational agency received under this subpart in the first year.

(3) DURATION- A subgrant under this subpart shall be awarded for a period of 3 years, and may be continued for a period of 2 additional years if the State educational agency determines, based on the annual reports described in section 1830(a), that significant progress has been made in lowering the annual school dropout rate for secondary schools participating in the program assisted under this subpart.

SEC. 1823. APPLICATIONS.

(a) IN GENERAL- To receive —

(1) a grant under this subpart, a State educational agency or local educational agency shall submit an application and plan to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require; and

(2) a subgrant under this subpart, a local educational agency shall submit an application and plan to the State educational agency at such time, in such manner, and accompanied by such information as the State educational agency may reasonably require.

(b) CONTENTS-

(1) STATE EDUCATIONAL AGENCY AND LOCAL EDUCATIONAL AGENCY- Each application and plan submitted under subsection (a) shall —

(A) include an outline —

(i) of the State educational agency's or local educational agency's strategy for reducing the State educational agency or local educational agency's annual school dropout rate;

(ii) for targeting secondary schools, and the middle schools that feed students into those secondary schools, that have the highest annual school dropout rates; and

(iii) for assessing the effectiveness of the efforts described in the plan;

(B) contain an identification of the schools in the State or operated by the local educational agency that have annual school dropout rates that are greater than the average annual school dropout rate for the State;

(C) describe the instructional strategies to be implemented, how the strategies will serve all students, and the effectiveness of the strategies;

(D) describe a budget and timeline for implementing the strategies;

(E) contain evidence of coordination with existing resources;

(F) provide an assurance that funds provided under this subpart will supplement, and not supplant, other State and local funds available for school dropout prevention and reentry programs; and

(G) describe how the activities to be assisted conform with research knowledge about school dropout prevention and reentry.

(2) LOCAL EDUCATIONAL AGENCY- Each application and plan submitted under subsection (a) by a local educational agency shall contain, in addition to the requirements of paragraph (1) —

(A) an assurance that the local educational agency is committed to providing ongoing operational support for such schools to address the problem of school dropouts for a period of 5 years; and

(B) an assurance that the local educational agency will support the plan, including —

(i) provision of release time for teacher training;

(ii) efforts to coordinate activities for secondary schools and the middle schools that feed students into those secondary schools; and

(iii) encouraging other schools served by the local educational agency to participate in the plan.

SEC. 1824. STATE RESERVATION.

A State educational agency that receives a grant under paragraph (2) or (3) of section 1822(a) may reserve not more than 5 percent of the grant funds for administrative costs and State activities related to school dropout prevention and reentry activities, of which not more than 2 percent of the grant funds may be used for administrative costs.

SEC. 1825. STRATEGIES AND CAPACITY BUILDING.

Each local educational agency receiving a grant or subgrant under this subpart and each State educational agency receiving a grant under this subpart shall implement scientifically based, sustainable, and widely replicated strategies for school dropout prevention and reentry. The strategies may include —

(1) specific strategies for targeted purposes, such as —

(A) effective early intervention programs designed to identify at-risk students;

(B) effective programs serving at-risk students, including racial and ethnic minorities and pregnant and parenting teenagers, designed to prevent such students from dropping out of school; and

(C) effective programs to identify and encourage youth who have already dropped out of school to reenter school and complete their secondary education; and

(2) approaches such as breaking larger schools down into smaller learning communities and other comprehensive reform approaches, creating alternative school programs, and developing clear linkages to career skills and employment.

SEC. 1826. SELECTION OF LOCAL EDUCATIONAL AGENCIES FOR SUBGRANTS.

(a) STATE EDUCATIONAL AGENCY REVIEW AND AWARD- The State educational agency shall review applications submitted under section 1823(a)(2) and award subgrants to local educational agencies with the assistance and advice of a panel of experts on school dropout prevention and reentry.

(b) ELIGIBILITY- A local educational agency is eligible to receive a subgrant under this subpart if the local educational agency operates a public school (including a public alternative school) —

(1) that is eligible to receive assistance under part A; and

(2)(A) that serves students 50 percent or more of whom are low-income students; or

(B) in which a majority of the students come from feeder schools that serve students 50 percent or more of whom are low-income students.

SEC. 1827. COMMUNITY BASED ORGANIZATIONS.

A local educational agency that receives a grant or subgrant under this subpart and a State educational agency that receives a grant under this subpart may use the funds to secure necessary services from a community-based organization or other government agency if the funds are used to provide school dropout prevention and reentry activities related to schoolwide efforts.

SEC. 1828. TECHNICAL ASSISTANCE.

Notwithstanding any other provision of law, each local educational agency that receives funds under this subpart shall use the funds to provide technical assistance to secondary schools served by the agency that have not made progress toward lowering annual school dropout rates after receiving assistance under this subpart for 2 fiscal years.

SEC. 1829. SCHOOL DROPOUT RATE CALCULATION.

For purposes of calculating an annual school dropout rate under this subpart, a school shall use the annual event school dropout rate for students leaving a school in a single year determined in accordance with the National Center for Education Statistics' Common Core of Data.

SEC. 1830. REPORTING AND ACCOUNTABILITY.

(a) LOCAL EDUCATIONAL AGENCY REPORTS-

(1) IN GENERAL- To receive funds under this subpart for a fiscal year after the first fiscal year that a local educational agency receives funds under this subpart, the local educational agency shall provide, on an annual basis, a report regarding the status of the implementation of activities funded under this subpart, and the dropout data for students at schools assisted under this subpart, disaggregated by race and ethnicity, to the —

(A) Secretary, if the local educational agency receives a grant under section 1822(a)(1); or

(B) State educational agency, if the local educational agency receives a subgrant under paragraph (2) or (3) of section 1822(a).

(2) DROPOUT DATA- The dropout data under paragraph (1) shall include annual school dropout rates for each fiscal year, starting with the 2 fiscal years before the local educational agency received funds under this subpart.

(b) STATE REPORT ON PROGRAM ACTIVITIES- Each State educational agency receiving funds under this subpart shall provide to the Secretary, at such time and in such format as the Secretary may require, information on the status of the implementation of activities funded under this subpart and outcome data for students in schools assisted under this subpart.

(c) ACCOUNTABILITY- The Secretary shall evaluate the effect of the activities assisted under this subpart on school dropout prevention compared, if feasible, to a control group using control procedures. The Secretary may use funds appropriated for subpart 1 to carry out this evaluation.